



Patent
239/072

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re the Application of:

Yajun Guo

Serial No.: 09/216,604

Filed: December 17, 1998

For: CELLULAR VACCINES AND
IMMUNOTHERAPEUTICS AND
METHODS FOR THEIR PREPARATION

)
) **Group Art Unit:** 1643

)
) **Examiner:** Cunningham, T.

TRANSMITTAL LETTER

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Enclosed herewith for filing in the above-referenced application are the following:

- Information Disclosure Statement;
- Form PTO-1449;
- Copies of cited references; and
- Return postcard.

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GAU 1643

Patent
239/072

#4
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INFORMATION DISCLOSURE STATEMENT

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

Enclosed is Form PTO-1449 listing patents and publications. Copies of U.S. patents and other publications are attached hereto.

The Applicant notes that foreign patent document AY is in German, and has not been translated.

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Respectfully submitted,

LYON & LYON LLP

Dated: June 4, 1999

By: _____


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239/072

09/216,604

LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S
INFORMATION DISCLOSURE STATEMENT

APPLICANT:

Guo, Yajun

FILING DATE:

December 17, 1998

GROUP:

1643

(Use several sheets if necessary)

U.S. PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUB CLASS	FILING DATE
AA	5,669,394	9/23/97	Bergey et al.	128	750	12/22/94
AB	5,789,215	8/4/98	Berns et al.	435	172.3	8/7/97
AC	5,591,828	1/7/97	Bosslet et al.	530	387.3	9/29/94
AD	5,635,602	6/3/97	Cantor et al.	530	391.1	8/13/93
AE	4,697,600	10/6/87	Cardenas et al.	128	753	6/4/86
AF	5,241,969	9/7/93	Carson et al.	128	753	6/10/92
AG	5,582,996	12/10/96	Curtis	435	7.1	5/27/94
AH	4,989,614	2/5/91	Dejter, Jr. et al.	128	752	2/23/88
AI	5,060,658	10/29/91	Dejter, Jr. et al.	128	753	7/30/90
AJ	5,635,600	6/3/97	Fanger et al.	530	387.3	12/27/94
AK	5,484,596	1/16/96	Hanna, Jr. et al.	424	277.1	11/1/93
AL	4,844,893	7/4/89	Honsik et al.	424	85.8	10/7/86
AM	5,141,736	8/25/92	Iwasa et al.	530	387.3	12/27/89
AN	5,637,481	6/10/97	Ledbetter et al.	435	69.6	9/13/93
AO	5,770,429	6/23/98	Lonberg et al.	435	240.2	10/10/95
AP	5,814,318	9/29/98	Lonberg et al.	424	184.1	7/22/93
AQ	4,605,011	8/12/86	Naslund	128	752	3/13/84
AR	5,292,668	3/8/94	Paulus	436	547	12/5/90
AS	5,530,101	6/25/96	Queen et al.	530	387.3	12/19/90
AT	5,693,762	12/2/97	Queen et al.	530	387.3	6/7/95
AU	5,655,541	8/12/97	Vattuone	128	749	12/29/94
AV	5,601,819	2/11/97	Wong et al.	424	136.1	9/14/94

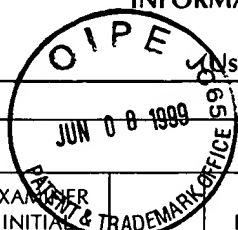
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Cunningham, T.

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FORM PTO-1449		ATTY. DOCKET NO. 239/072	SERIAL NO. 09/216,604
LIST OF PATENTS AND OTHER ITEMS FOR APPLICANT'S INFORMATION DISCLOSURE STATEMENT		APPLICANT: Guo, Yajun	
		FILING DATE: December 17, 1998	GROUP: 1643



(Use several sheets if necessary)

FOREIGN PATENT DOCUMENTS

EXAMINER INITIAL	DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUB CLASS	TRANSLATION YES NO
AW	WO 95/16775	22.06.95	PCT			
AX	WO 98/24884	11.06.98	PCT			
AY	EP 0 885 614 A2	16.06.98	EPO			

OTHER DOCUMENTS (Including Author, Title, Date, Pertinent Pages, etc.)

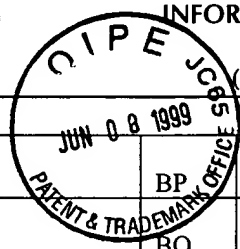
AZ	Vaughan, Tristan J. et al., "Human antibodies by design," <i>Nature Biotechnology</i> , 16:535-539 (1998)
BA	Reiter, Yoram et al., "Engineering antibody Fv fragments for cancer detection and therapy: Disulfide-stabilized Fv fragments," <i>Nature Biotechnology</i> , 14:1239-1245 (1996)
BB	Guo, Ya-Jun et al., "Effective tumor vaccines generated by <i>in vitro</i> modification of tumor cells with cytokines and bispecific monoclonal antibodies," <i>Nature Medicine</i> , 4:451-455 (April, 1998) ✓
BC	Nestle, Frank O. et al., "Vaccination of melanoma patients with peptide- or tumor lysate-pulsed dendritic cells," <i>Nature Medicine</i> , 4:328-332 (1998)
BD	Mayordomo, J. I. et al., "Bone marrow-derived dendritic cells pulsed with synthetic tumour peptides elicit protective and therapeutic antitumour immunity," <i>Nature Medicine</i> , 1:1297-1302 (1995) ✓
BE	Ostrand-Rosenberg, Suzanne, "Tumor immunotherapy: the tumor cell as an antigen-presenting cell," <i>Current Opinion in Immunology</i> , 6:722-727 (1994)
BF	Panettieri, Jr., Reynold A. et al., "Activation of cAMP-Dependent Pathways in Human Airway Smooth Muscle Cells Inhibits TNF- α -Induced ICAM-1 and VCAM-1 Expression and T Lymphocyte Adhesion," <i>The Journal of Immunology</i> , 154:2358-2365 (1995)
BG	Holliger, Philipp et al., "Antibodies come back from the brink," <i>Nature Biotechnology</i> , 16:1015-1016 (1998)
BH	Bubenik, J. et al., "Immunotherapy of cancer using local administration of lymphoid cells transformed by IL-2 cDNA and constitutively producing IL-2," <i>Immunology Letters</i> , 23:287-292 (1990)
BI	Kubin, Marek et al., "Interleukin 12 Synergizes with B7/CD28 Interaction in Inducing Efficient Proliferation and Cytokine Production of Human T Cells," <i>J. Exp. Med.</i> , 180:211-222 (1994)
BJ	Li, Yiwen et al., "Costimulation by CD48 and B7-1 Induces Immunity against Poorly Immunogenic Tumors," <i>J. Exp. Med.</i> , 183:639-644 (1996)
BK	Johnston, Janet V. et al., "B7-CD28 Costimulation Unveils the Hierarchy of Tumor Epitopes Recognized by Major Histocompatibility Complex Class I-restricted CD8 Cytolytic T Lymphocytes," <i>J. Exp. Med.</i> , 183:791-800 (1996)
BL	Haddada, H. et al., "Tumorigenicity of hamster and mouse cells transformed by adenovirus types 2 and 5 is not influenced by the level of class I major histocompatibility antigens expressed on the cells," <i>Proc. Natl. Acad. Sci. USA</i> , 83:9684-9688 (1986) K
BM	Gilliland, Lisa K. et al., "Universal bispecific antibody for targeting tumor cells for destruction by cytotoxic T cells," <i>Proc. Natl. Acad. Sci. USA</i> , 85:7719-7723 (1988)
BN	Dranoff, Glenn et al., "Vaccination with irradiated tumor cells engineered to secrete murine granulocyte-macrophage colony-stimulating factor stimulates potent, specific, and long-lasting anti-tumor immunity," <i>Proc. Natl. Acad. Sci. USA</i> , 90:3539-3543 (1993)
BO	Chen, Lieping et al., "Costimulation of Antitumor Immunity by the B7 Counterreceptor for the T Lymphocyte Molecules CD28 and CTLA-4," <i>Cell</i> , 71:1093-1102 (1992)

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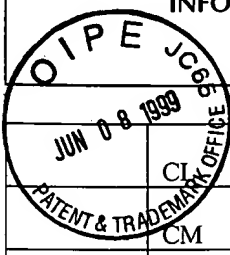


BP	Baskar, Sivasubramanian et al., "Constitutive expression of B7 restores immunogenicity of tumor cells expressing truncated major histocompatibility complex class II molecules," <i>Proc. Natl. Acad. Sci. USA</i> , 90:5687-5690 (1993)
BQ	Armstrong, Todd D. et al., "Major histocompatibility complex class II-transfected tumor cells present endogenous antigen and are potent inducers of tumor-specific immunity <i>Proc. Natl. Acad. Sci. USA</i> , 94:6886-6891 (1997)
BR	Tsioulas, George J. et al., "Expression of HLA Class I Antigens in Sporadic Adenomas and Histologically Normal Mucosa of the Colon," <i>Cancer Research</i> , 53:2374-2378 (1993)
BS	Johnstone, Alan et al., " <i>Immunochimistry in Practice</i> , Chapter 2, pp. 30-47 (Blackwell, New York, 2d ed.) (1988)
BT	Nabel, Gary J. et al., "Direct Gene Transfer for Treatment of Human Cancer," <i>Annals New York Academy of Sciences</i> , 772:227-231 (1995)
BU	Allison, James P. et al., "Manipulation of costimulatory signals to enhance antitumor T-cell responses," <i>Current Opinion in Immunology</i> , 7:682-686 (1995)
BV	Jurianz, Katrin et al., "Adhesive function of Newcastle disease virus hemagglutinin in tumor-host interaction," <i>International Journal of Oncology</i> , 7:539-545 (1995)
BW	Hock, Hanno et al., "Vaccinations with Tumor Cells Genetically Engineered to Produce Different Cytokines: Effectivity not Superior to a Classical Adjuvant," <i>Cancer Research</i> , 53:714-716 (1993)
BX	Mattsson, Ragnar et al., "In Vivo Treatment with Interferon-Gamma during Early Pregnancy in Mice Induces Strong Expression of Major Histocompatibility Complex Class I and II Molecules in Uterus and Decidua But Not in Extra-Embryonic Tissues," <i>Biology of Reproduction</i> , 46:1176-1186 (1992)
BY	Wang, Jianli et al., "Eliciting T Cell Immunity Against Poorly Immunogenic Tumors by Immunization with Dendritic Cell-Tumor Fusion Vaccines," <i>The Journal of Immunology</i> , 161:5516-5524 (1998)
BZ	Vaughan, Tristan J. et al., "Human Antibodies with Sub-nanomolar Affinities Isolated from a Large Non-immunized Phage Display Library," <i>Nature Biotechnology</i> , 14:309-314 (1996)
CA	Asher, A. L. et al., "Murine Tumor Cells Transduced with the Gene for Tumor Necrosis Factor- α ; Evidence for Paracrine Immune Effects of Tumor Necrosis Factor against Tumors," <i>The Journal of Immunology</i> , 146:3227-3234 (1991)
CB	Yang, Guchen et al., "Antitumor Immunity Elicited by Tumor Cells Transfected with B7-2, a Second Ligand for CD28/CTLA-4 Costimulatory Molecules," <i>The Journal of Immunology</i> , 154:2794-2800 (1995)
CC	Toffaletti, Dena L. et al., "Augmentation of Syngeneic Tumor-Specific Immunity by Semiallogeneic Cell Hybrids," <i>The Journal of Immunology</i> , 130:2982-2986 (1983)
CD	Ostrand-Rosenberg, Suzanne et al., "Rejection of Mouse Sarcoma Cells After Transfection of MHC Class II Genes," <i>The Journal of Immunology</i> , 144:4068-4071 (1990)
CE	MacLean, James A. et al., "Anti-CD3: Anti-IL-2 Receptor Bispecific Monoclonal Antibody," <i>The Journal of Immunology</i> , 150:1619-1628 (1993)
CF	Blazar, Bruce R. et al., "In Vivo Blockade of CD28/CTLA4: B7/BB1 Interaction With CTLA4-Ig Reduces Lethal Murine Graft-Versus-Host Disease Across the Major Histocompatibility Complex Barrier in Mice," <i>Blood</i> , 83:3815-3825 (1994)
CG	Gansbacher, Bernd et al., "Retroviral Vector-mediated γ -Interferon Gene Transfer into Tumor Cells Generates Potent and Long Lasting Antitumor Immunity," <i>Cancer Research</i> , 50:7820-7825 (1990)
CH	Bakker, Alexander B. H. et al., "Generation of Antimelanoma Cytotoxic T Lymphocytes from Healthy Donors after Presentation of Melanoma-associated Antigen-derived Epitopes by Dendritic Cells <i>in Vitro</i> ," <i>Cancer Research</i> , 55:5330-5334 (1995)
CI	Ockert, Detlef et al., "Newcastle Disease Virus-infected Intact Autologous Tumor Cell Vaccine for Adjuvant Active Specific Immunotherapy of Resected Colorectal Carcinoma," <i>Clinical Cancer Research</i> , 2:21-28 (1996)
CJ	Elliott, Bruce E. et al., "Perspectives on the Role of MHC Antigens in Normal and Malignant Cell Development," <i>Advances in Cancer Research</i> , 53:181-245 (1989)
CK	Hellstrom, Karl Erik et al., "Can Co-stimulated Tumor Immunity be Therapeutically Efficacious?," <i>Immunological Reviews</i> , 145:123-145 (1995)

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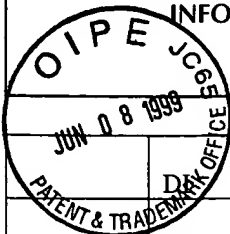
CI	CM	CN	CO	CP	CQ	CR	CS	CT	CU	CV	CW	CX	CY	CZ	DA	DB	DC	DD	DE	DF	DG	DH	
																							von Hoegen, Paul et al., "Modification of Tumor Cells by a Low Dose of Newcastle Disease Virus," <i>Cellular Immunology</i> , 126:80-90 (1990)
																							Linsley, Peter S. & Jeffrey A. Ledbetter, "The Role of the CD28 Receptor During T Cell Responses to Antigen," <i>Annu. Rev. Immunol.</i> , 11:191-212 (1993)
																							Hock, Hanno et al., "Interleukin 7 Induces CD4+ T Cell-dependent Tumor Rejection," <i>J. Exp. Med.</i> , 174:1291-1298 (1991)
																							Colombo, Mario P. et al., "Granulocyte Colony-stimulating Factor Gene Transfer Suppresses Tumorigenicity of a Murine Adenocarcinoma In Vivo," <i>J. Exp. Med.</i> , 173:889-897 (1991)
																							Donnelly, John J. et al., "Immunization with DNA," <i>Journal of Immunological Methods</i> , 176:145-152 (1994)
																							Young, James W. et al., "Dendritic Cells as Adjuvants for Class I Major Histocompatibility Complex-restricted Antitumor Immunity," <i>J. Exp. Med.</i> , 183:7-11 (1996)
																							Zitvogel, Laurence et al., "Therapy of Murine Tumors with Tumor Peptide-pulsed Dendritic Cells: Dependence on T Cells, B7 Costimulation, and T Helper Cell 1-associated Cytokines," <i>J. Exp. Med.</i> , 183:87-97 (1996)
																							Celluzzi, Christina M. et al., "Peptide-pulsed Dendritic Cells Induce Antigen-specific, CTL-mediated Protective Tumor Immunity," <i>J. Exp. Med.</i> , 183:283-287 (1996)
																							Caux, Christophe et al., "B70/B7-2 Is Identical to CD86 and Is the Major Functional Ligand for CD28 Expressed on Human Dendritic Cells," <i>J. Exp. Med.</i> , 180:1841-1847 (1994)
																							Hurtado, José C. et al., "Potential Role of 4-1BB in T Cell Activation; Comparison with the Costimulatory Molecule CD28," <i>The Journal of Immunology</i> , 155:3360-3367 (1995)
																							Porgador, Angel et al., "Interleukin 6 Gene Transfection into Lewis Lung Carcinoma Tumor Cells Suppresses the Malignant Phenotype and Confers Immunotherapeutic Competence against Parental Metastatic Cells," <i>Cancer Research</i> , 52:3679-3686 (1992)
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																							Luboldt, Hans-Joachim et al., "Selective Loss of Human Leukocyte Antigen Class I Allele Expression in Advanced Renal Cell Carcinoma," <i>Cancer Research</i> , 56:826-830 (1996)
																							Bode, Christoph et al., "Antibody-directed Fibrinolysis," <i>The Journal of Biological Chemistry</i> , 264:944-948 (1989)
																							Hathcock, Karen S. et al., "Identification of an Alternative CTLA-4 Ligand Costimulatory for T Cell Activation," <i>Science</i> , 262:905-907 (1993)
																							Guo, Yajun et al., "Effective Tumor Vaccine Generated by Fusion of Hepatoma Cells with Activated B Cells," <i>Science</i> , 263:518-520 (1994)
																							Townsend, Sarah E. & James P. Allison, "Tumor Rejection After Direct Costimulation of CD8+ T Cells by B7-Transfected Melanoma Cells," <i>Science</i> , 259:368-370 (1993)
																							Leach, Dana R. et al., "Enhancement of Antitumor Immunity by CTLA-4 Blockade," <i>Science</i> , 271:1734-1736 (1996)
																							Trojan, Jerzy et al., "Treatment and Prevention of Rat Glioblastoma by Immunogenic C6 Cells Expressing Antisense Insulin-Like Growth Factor I RNA," <i>Science</i> , 259:94-96 (1993)
																							Renner, Christoph et al., "Cure of Xenografted Human Tumors by Bispecific Monoclonal Antibodies and Human T Cells," <i>Science</i> , 264:833-835 (1994)
																							Allison, James P. & Matthew F. Krummel, "The Yin and Yang of T Cell Costimulation," <i>Science</i> , 270:932-933 (1995)
																							Chang et al., <i>Gastroenterology</i> , 112(4):A546 (1997)
																							Ikeda, Mitsunori et al., "Suppressive Effect of Antioxidants on Intercellular Adhesion Molecule-1 (ICAM-1) Expression in Human Epidermal Keratinocytes," <i>J. Invest. Dermatol.</i> , 103:791-796 (1994)

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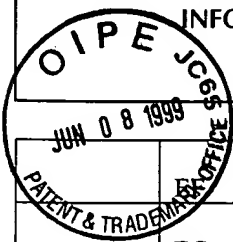
		Hoogenboom, Hennie R. et al., "Antibody phage display technology and its applications," <i>Immunotechnology</i> , 4:1-20 (1998)
	DJ	Golumbek, Paul T. et al., "Treatment of Established Renal Cancer by Tumor Cells Engineered to Secrete Interleukin-4," <i>Science</i> , 254:713-716 (1991)
	DK	Freeman, Gordon J. et al., "Cloning of B7-2: A CTLA-4 Counter-Receptor That Costimulates Human T Cell Proliferation," <i>Science</i> , 262:909-911 (1993)
	DL	Wallich, R. et al., "Abrogation of metastatic properties of tumour cells by <i>de novo</i> expression of H-2K antigens following H-2 gene trasfection," <i>Nature</i> , 315:301-315 (1985)
	DM	Shahinian, Arda et al., "Differential T Cell Costimulatory Requirements in CD28-Deficient Mice," <i>Science</i> , 261:609-612 (1993)
	DN	Murphy, Erin E. et al., "B7 and Interleukin 12 Cooperate for Proliferation and Interferon γ Production by Mouse T Helper Clones That Are Unresponsive to B7 Costimulation," <i>J. Exp. Med.</i> , 180:223-231 (1994)
	DO	Paglia, Paola et al., "Murine Dendritic Cells Loaded In Vitro with Soluble Protein Prime Cytotoxic T Lymphocytes against Tumor Antigen In Vivo," <i>J. Exp. Med.</i> , 183:317-322 (1996)
	DP	Luster, Andrew D. et al., "IP-10, a -C-X-C- Chemokine, Elicits a Potent Thymus-dependent Antitumor Response In Vivo," <i>J. Exp. Med.</i> , 178:1057-1065 (1993)
	DQ	Porgador, Angel et al., "Bone Marrow-generated Dendritic Cells Pulsed with a Class I-restricted Peptide Are Potent Inducers of Cytotoxic T Lymphocytes," <i>J. Exp. Med.</i> , 182:255-260 (1995)
	DR	Seder, Robert A. et al., "CD28-mediated Costimulation of Interleukin 2 (IL-2) Production Plays a Critical Role in T Cell Priming for IL-4 and Interferon γ Production," <i>The Journal of Experimental Medicine</i> , 179:299-304 (1994)
	DS	Gong, Jianlin et al., "Induction of antitumor activity by immunization with fusions of dendritic and carcinoma cells," <i>Nature Medicine</i> , 3(5):558-561 (1997)
	DT	Melero, Ignacio et al., "Monoclonal antibodies against the 4-1BB T-cell activation molecule eradicate established tumors," <i>Nature Medicine</i> , 3:682-685 (1997)
	DU	Hsu, Frank J. et al., "Vaccination of patients with B-cell lymphoma using autologous antigen-pulsed dendritic cells," <i>Nature Medicine</i> , 2(1):52-58 (1996)
	DV	Linsley, Peter S. et al., "CTLA-4 Is a Second Receptor for the B Cell Activation Antigen B7," <i>J. Exp. Med.</i> , 174:561-569 (1991)
	DW	DeBenedette, Mark A. et al., "Role of 4-1BB Ligand in Costimulation of T Lymphocyte Growth and its Upregulation on M12 B Lymphomas by cAMP," <i>J. Exp. Med.</i> , 181:985-992 (1995)
	DX	June, Carl H. et al., "The B7 and CD28 receptor families," <i>Immunology Today</i> , 15:321-331 (1994)
	DY	Boczkowski, David et al., "Dendritic Cells Pulsed with RNA are Potent Antigen-presenting Cells In Vitro and In Vivo," <i>J. Exp. Med.</i> , 184:465-472 (1996)
	DZ	Tykocinski, Mark L. et al., "Antigen-Presenting Cell Engineering," <i>American Journal of Pathology</i> , 148:1-16 (1996)
	EA	Ulevitch, Richard J. et al., "Hyperexpression of Interferon-gamma-induced MHC Class II Genes Associated with Reorganization of the Cytoskeleton," <i>American Journal of Pathology</i> , 139:287-296 (1991)
	EB	Saito, Ichiro et al., "Expression of Cell Adhesion Molecules in the Salivary and Lacrimal Glands of Sjogren's Syndrome," <i>Journal of Clinical Laboratory Analysis</i> , 7:180-187 (1993)
	EC	Zöller et al., "Interleukin-1 Production by Transformed Fibroblasts. II. Influence on Antigen Presentation and T-Cell-Mediated Anti-Tumor Response," <i>Intl. J. Cancer</i> , 50:450-457 (1992)
	ED	Darlington, Gretchen J. et al., "Expression of Liver Phenotypes in Cultured Mouse Hepatoma Cells," <i>Journal of the National Cancer Institute</i> , 64:809-815 (1980)
	EE	Restifo, Nicholas P. et al., "Molecular Mechanisms Used by Tumors to Escape Immune Recognition: Immunogenethrapy and the Cell Biology of Major Histocompatibility Complex Class I," <i>Journal of Immunotherapy</i> , 14:182-190 (1993)

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		FILING DATE: December 17, 1998	GROUP: 1643



		Holliger, Philipp et al., "Retargeting serum immunoglobulin with bispecific diabodies," <i>Nature Biotechnology</i> , 15:632-636 (1997)
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